



MAY 22 2002

COPY OF PAPERS  
ORIGINALLY FILED

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/045,520	10/26/2001	Jeremy Stein	AP33681-070939.0365

CONFIRMATION NO. 9931

21003  
BAKER & BOTTS  
30 ROCKEFELLER PLAZA  
NEW YORK, NY 10112

## FORMALITIES LETTER



\*OC000000007468101\*

Date Mailed: 02/13/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

---

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/23/2002 HNDOR1 00000077 10045520

02 FC:105

130.00 OP

BAKER BOTTS LLP

COPY OF PAPERS  
ORIGINALLY FILED

Please type a plus sign (+) inside this box → ☐



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/045,520
Filing Date	October 26, 2001
First Named Inventor	Jeremy Stein
Group Art Unit	2123
Examiner Name	
Attorney Docket Number	AP33681-073103.0102

Total Number of Pages in This Submission 13

### ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☒ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/  
Incomplete Application
- ☒ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers  
(for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☐ Power of Attorney, Revocation  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication  
to Group
- ☐ Appeal Communication to Board  
of Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please  
identify below):

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

BakerBotts LLP  
30 Rockefeller Plaza  
New York, NY 10112

Signature

Att Name: Robert C. Scheinfeld  
PTO Reg: 31,300

Date

May 9, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: May 9, 2002

Typed or printed name

Robert C. Scheinfeld

Signature

Date May 9, 2002

**BAKER BOTTS** LLP

Attorney Docket Number: AP33681-073103.0102

Title: SYSTEM AND METHOD FOR ESTIMATING CASH FLOW AT RISK FOR A NON-FINANCIAL  
INSTITUTION

Use Space Below for Additional Information:

BAKER BOTTS

COPY OF PAPERS  
ORIGINALLY FILED

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 240

## Complete if Known

Application Number	10/045,520
Filing Date	October 26, 2001
First Named Inventor	Jeremy Stein
Examiner Name	
Group Art Unit	2123
Attorney Docket No.	AP33681--073103.0102

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-4377

Deposit  
Account  
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee

Fee

Fee Description

Fee Paid

740

370

Utility filing fee

330

165

Design filing fee

510

255

Plant filing fee

740

370

Reissue filing fee

160

80

Provisional filing fee

SUBTOTAL (1) (\$ 0

## 2. EXTRA CLAIM FEES

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent Claims	20**	= 0	X		=	0	
Multiple Dependent	3**	= 0	X		=	0	

Large Entity Small Entity

Fee

Fee

Fee Description

18

9

Claims in excess of 20

84

42

Independent claims in excess of 3

280

140

Multiple dependent claim, if not paid

84

42

\*\* Reissue independent claims  
over original patent

18

9

\*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2)

(\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large  
EntitySmall  
Entity

Fee

Fee

Fee Description

Fee Paid

130

65

Surcharge - late filing fee or oath

130

50

25

Surcharge - late provisional filing fee or  
cover sheet

130

130

Non-English specification

2,520

2,520

For filing a request for *ex parte* reexamination

920\*

920\*

Requesting publication of SIR prior to  
Examiner action

1,840\*

1,840\*

Requesting publication of SIR after  
Examiner action

110

110

55

Extension for reply within first month

400

200

Extension for reply within second month

920

460

Extension for reply within third month

1,440

720

Extension for reply within fourth month

1,960

980

Extension for reply within fifth month

320

160

Notice of Appeal

320

160

Filing a brief in support of an appeal

280

140

Request for oral hearing

1,510

1,510

Petition to institute a public use proceeding

110

55

Petition to revive - unavoidable

1,280

640

Petition to revive - unintentional

1,280

640

Utility issue fee (or reissue)

460

230

Design issue fee

620

310

Plant issue fee

130

130

Petitions to the Commissioner

50

50

Processing fee under 37 CFR 1.17(q)

180

180

Submission of Information Disclosure Stmt

40

40

Recording each patent assignment per  
property (times number of properties)

740

370

Filing a submission after final rejection  
(37 CFR § 1.129(a))

740

370

For each additional invention to be  
examined (37 CFR § 1.129(b))

740

370

Request for Continued Examination (RCE)

900

900

Request for expedited examination  
of a design application

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 240

## SUBMITTED BY

Name (Print/Type)

Robert C. Scheinfeld

Registration No.  
(Attorney/Agent)

31,300

## Complete (if applicable)

Telephone

212-408-2512

Signature

Date

May 9, 2002

WARNING: Information on this form may become public. Credit card information should not  
be included on this form. Provide credit card information and authorization on PTO-2038.